

Instruction Sheet for the Community Capacity Self-Assessment Tool

Project Planning & Development Training | Continued Training

The **Community Capacity Self-Assessment Tool** is intended as a “homework assignment” to be completed after the ANA Project Planning & Development training, and prior to developing a project application. The purpose of the tool is to assess an organization’s readiness and ability to administer and successfully complete an ANA project. This document should be considered an internal tool.

This tool addresses six areas:

1. Local Capacity
2. General Organization Management
3. Administration
4. Personnel Management
5. Financial Management/Accounting
6. Procurement Procedures

Participant FAQs:

Q. How do I complete the tool?

A. The first step is to talk to your tribe or organization’s chief administrator to get permission to proceed. Most likely, you will need to consult several different people to answer all the questions, and your administrator will be able to point you in the right direction. When gathering information, it is important to explain the purpose of your questions and to assure staff that the information they provide will not be used in any manner except in seeking funding for future tribal/community projects. Information regarding organizational capacity and structure may be used in grant applications to justify the ability for managing those projects.

Q. What will the tool results tell me?

A. The results will help you determine your organization’s readiness to develop and submit a project proposal. Establishing that your community has the capacity to effectively administer a major project is a crucial component of a successful project application. The information gathered can also be used to highlight any issues that need to be brought to the attention of administration for corrective action. If you feel that your organization lacks capacity in any of the program areas addressed in this assessment, call your regional training center for free a free organizational capacity-building consultation.

Q. How else can I use the completed tool?

A. The information gathered in the Community Capacity Self-Assessment Tool will be extremely helpful if you request technical assistance from an ANA regional training center during any phase of your application process. Reviewing the results of the tool can help identify organizational strengths that can be referenced in your application.

Tool starts on next page »

Community Capacity Self-Assessment Tool

Project Planning & Development Training | Continued Training

Thank you for participating in ANA's Project Planning and Development Training!

This document is designed to help you assess the readiness of your tribe or organization to begin the application process. Answering the questions below as completely as possible will enable you to determine the management, administrative and financial capabilities of your tribe/organization. Call our office if you need help filling it out.

We encourage you to share whatever information you gather in this document with your ANA Training/Technical Assistance (T/TA) provider. ANA is committed to promoting community sustainability and to building skills using local talent. Your answers will help ANA determine how we can best help you produce successful ANA grant applications.

Local Capacity

1. Does your organization have someone on staff assigned to write grants? ☐ Y ☐ N
Has that person ever written a successful grant application? ☐ Y ☐ N

2. Who in your organization searches for new funding opportunities?

Comments:

General Organization Management

1. What is the authority by which your organization can receive federal funding?

- ☐ Federally-recognized tribe ☐ Nonprofit 501(c)(3) ☐ Tribal college
☐ Other (Identify): _____

Continued on backside of page »

General Organization Management (continued)

2. Does your organization use policies and procedures[†] in any of the following categories?

Administration.....	<input type="checkbox"/> Y <input type="checkbox"/> N	Personnel.....	<input type="checkbox"/> Y <input type="checkbox"/> N
Finance.....	<input type="checkbox"/> Y <input type="checkbox"/> N	Procurement.....	<input type="checkbox"/> Y <input type="checkbox"/> N
Council or board membership.....	<input type="checkbox"/> Y <input type="checkbox"/> N	Property.....	<input type="checkbox"/> Y <input type="checkbox"/> N

[†] Note: Some of these categories may be combined into one document. If so, please check both categories.

3. How do your program directors reach out to your communities?

☐ Fliers ☐ Newspaper announcements/articles ☐ Notices on bulletin boards ☐ Community TV
☐ Email ☐ Social Media ☐ Website
☐ Other (Identify): _____

4. Are all council or board positions currently filled? ☐ Y ☐ N

If No, please explain: _____

5. Frequency of council or board meetings: _____

6. Are all meetings adequately announced and open to the public? ☐ Y ☐ N

7. What methods are used to keep the membership informed of what is going on within the organization and within the communities?

8. What are the most successful methods of communication within your community?

Continued on next page »

General Organization Management (continued)

9. Is there a system in place to document council or board decisions? ☐ Y ☐ N

10. Is there someone designated to enter into funding agreements on behalf of your organization? ☐ Y ☐ N

If Yes, identify the staff, council, or board position: _____

Comments:

Administration

1. The direction for your organization is set by?

☐ A few senior leaders/board

☐ Community members

☐ Both

☐ Other (Identify): _____

2. Is funding pursued based on availability of funds or priority of identified needs?

☐ Availability of funds

☐ Priority of Identified Needs

☐ Both

3. Please provide a brief description of the council or board's prior experience in administering a project. Include information regarding type of project, project budget and final cost, timeliness, construction approach (contract, force account), and satisfaction level with completed project:

Continued on backside of page »

Administration (continued)

4. Has your governing board conducted and completed a strategic or community plan? ☐ Y ☐ N

If Yes, when?

Is staff in place to implement the plan? ☐ Y ☐ N

Has the plan been modified? ☐ Y ☐ N

If Yes, when?

If Yes, briefly indicate what was changed and why:

5. Describe the process your organization uses to identify and prioritize community needs:

6. Is a system in place to process and file grant-related project information? ☐ Y ☐ N

7. Is there a records-retention plan in use? ☐ Y ☐ N

Comments:

Continued on next page »

Personnel Management

1. Are there written job descriptions for all positions? ☐ Y ☐ N
2. Do you have an organizational chart? ☐ Y ☐ N
3. Do you have personnel procedures in effect in the following areas?

Hiring process <input type="checkbox"/> Y <input type="checkbox"/> N	Disciplinary process <input type="checkbox"/> Y <input type="checkbox"/> N
Evaluation process <input type="checkbox"/> Y <input type="checkbox"/> N	
4. Is there a separate file folder for each employee, containing personnel-related (non-payroll) information? ☐ Y ☐ N

Comments:

Financials/Accounting

1. Are there financial policies and procedures or an accounting manual that clearly defines the bookkeeping processes in use? ☐ Y ☐ N
2. The financial processes in use include the following:

General ledger entries <input type="checkbox"/> Y <input type="checkbox"/> N	Processing of accounts receivable and payable <input type="checkbox"/> Y <input type="checkbox"/> N
Payroll <input type="checkbox"/> Y <input type="checkbox"/> N	
3. Do the financial processes produce accurate and current financial results of the organization, including financial reports? ☐ Y ☐ N
4. Are monthly financial statements produced? ☐ Y ☐ N

Continued on backside of page »

Financials/Accounting (continued)

5. Does the organization's council or board regularly review current financial data? ☐Y ☐N
 If Yes, does the reviewed data accurately portray the organization's financial ☐Y ☐N
 status in a manner that clearly allows for comparison between estimated
 budgets and actual expenditures and revenue?
6. Do the financial processes in place provide effective control over and accountability ☐Y ☐N
 for all funds, property and other assets, including methods to ensure
 such assets are used solely for authorized purposes?
7. Can the financial processes rectify any problems that may occur in budgets and program plans? ☐Y ☐N
8. Is your organization current on filing all state and federal tax reports? ☐Y ☐N
9. Is your organization current on making all state and federal tax deposits? ☐Y ☐N
10. Is there a current chart of accounts? ☐Y ☐N
11. Are bank statements reconciled monthly by someone other than a check signer? ☐Y ☐N
12. Has your organization developed and does it follow a payroll process, ☐Y ☐N
 including timecards, payroll files for each employee, and other
 necessary documentation?
13. Does your organization maintain source documentation to support ☐Y ☐N
 financial data entries (i.e. vendor files)?
14. Is there a current audit or yearly financial review? ☐Y ☐N
15. Did you have any significant or material findings on your last audit? ☐Y ☐N
 If so, were they addressed? ☐Y ☐N
16. Are there written procedures in use for drawing grant funds and issuing payments? ☐Y ☐N

Continued on next page »

Financials/Accounting (continued)

17. Are there written procedures in use for tracking and verifying cost match, ☐ Y ☐ N
cost share, and/or in-kind contributions as applicable by funding sources?

Comments:

Procurement

1. Are there written procurement policies and procedures in use that ☐ Y ☐ N
meet state and federal requirements?

If Yes, do these procurement policies and procedures include:

Purchasing processes ☐ Y ☐ N Internal control for payment ☐ Y ☐ N
Purchasing methods ☐ Y ☐ N of goods or services

2. How does your organization determine pay rates for new positions?

☐ Established salary scale ☐ Based on required qualifications, experience and education
☐ Determined when advertising the position ☐ Uses appropriate labor rates for the position for our
geographic area based on Department of Labor statistics

3. Has your staff received training in the implementation of the procurement policies and procedures? ... ☐ Y ☐ N

4. Our policy is that purchases of over \$_____ must be approved by the board or council.

5. Is a purchase order and check request system in use? ☐ Y ☐ N

Comments: